Protect the Force through
RISK MANAGEMENT
Leaders Save Lives
PR8-328

America’s Sons & Daughters

American People Trust Us By Giving Us Their Sons and Daughters:

We Must Be True to That Trust!

Chief of Staff of the Army:

"Step Up to the Plate"

- It's the invincibility of youth that makes our Army great, but these are the same soldiers who are strapping on our weapon systems and vehicles.
- It's a long way from the front office to the cab of a vehicle.
- Our challenge is to get the safety program to the soldier behind the wheel.

Purpose

- To familiarize ***all*** Army soldiers and civilian employees with Risk Management
- To provide soldiers and civilians information to help them apply Risk Management in everything that we do

Battle & Non-Battle Casualties

Rate* per 1,000 soldiers and percent

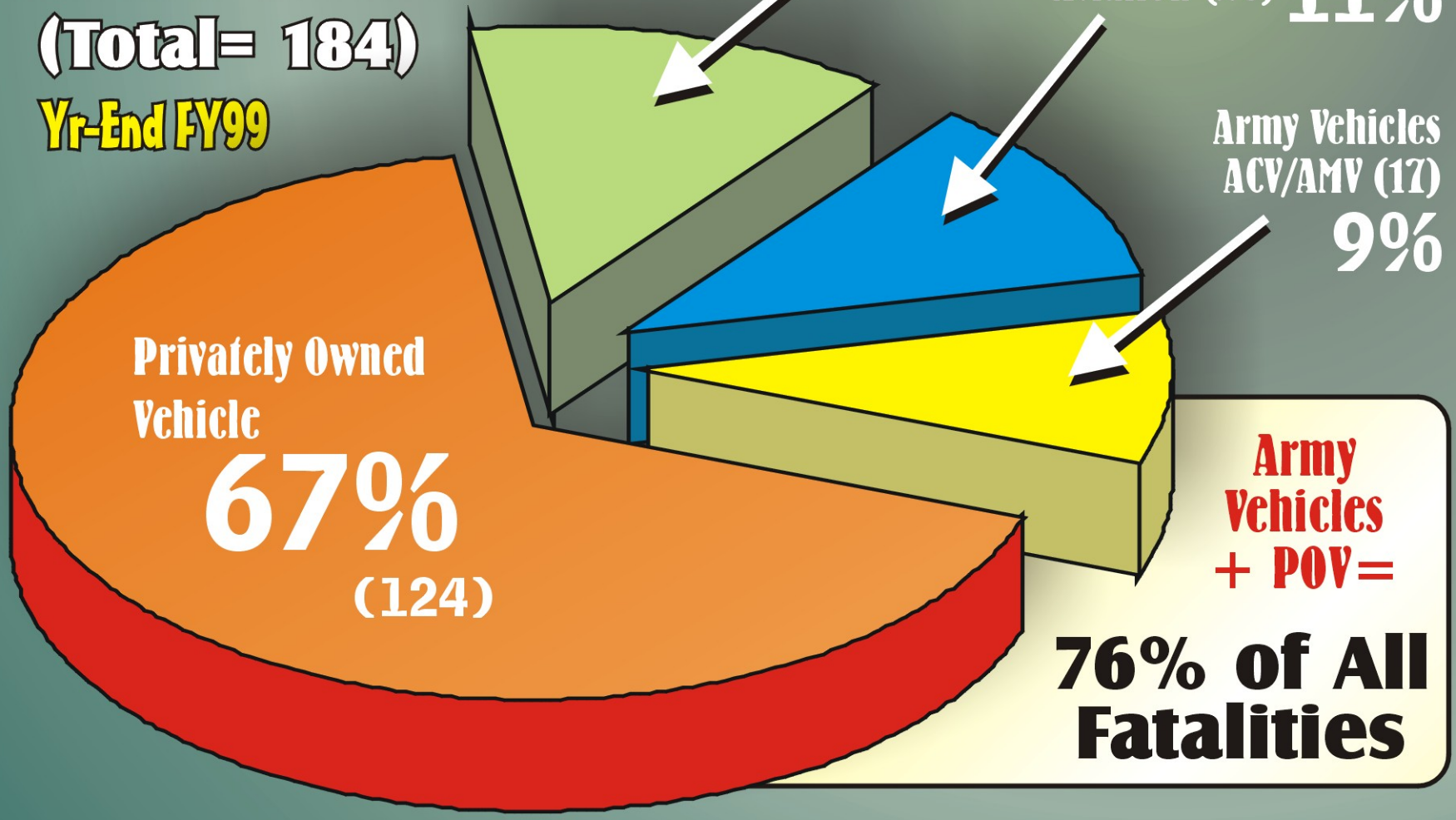
Army	W.W.II 1942-45	Korea 1950-53	Vietnam 1965-72	DS/S 1990-91	NTC FY93 (BLUFOR-GROUND)
Accident	95.57 56%	120.33 44%	154.66 54%	11.14 75%	2.23 3%
Friendly Fire	1.50*** 1%	3.03*** 1%	2.67*** 1%	.68 5%	7.87***** 9%
Enemy Action	73.61 43%	148.56 55%	131.20 45%	2.90 20%	74.17***** 88%

* Per 12 months for W.W.II, Korea and Vietnam; 14 months for DS/S; per rotation NTC.
** Deaths and injuries (ground and aviation) for entire war/operation.
*** Research based estimate (2% of all direct- and indirect- fire losses).
**** Simulated (MILES) direct fire vehicle kills.

Army Military Fatalities

(Total= 184)

Yr-End FY99

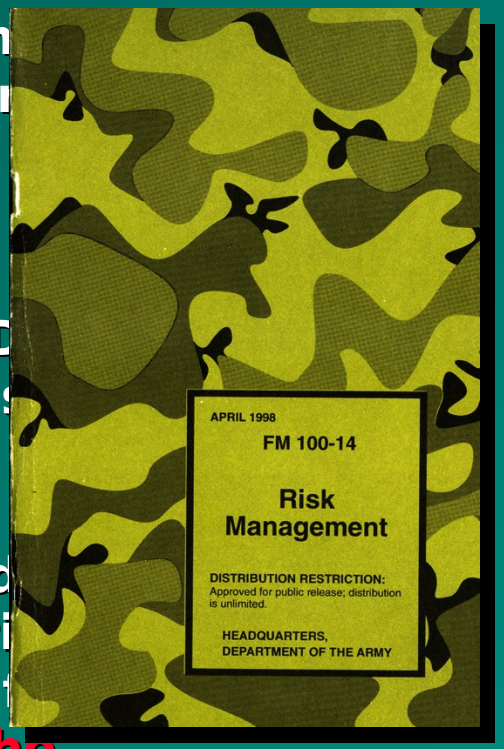

Personnel Injury (23) 13%
Aviation (20) 11%
Army Vehicles ACV/AMV (17) 9%
Privately Owned Vehicle 67% (124)
Army Vehicles + POV= 76% of All Fatalities

Agenda

- **Risk Management (RM):**
  - **What It Is**
  - **How It Is Done**
  - **References For Doing It**

Policy & Doctrine

- **FM 100-14, RISK MANAGEMENT, APRIL 1998**
  - Basic doctrinal document on risk managen
  - Applies to all army activities, both army a civilian
- **FM 101-5, STAFF ORGANIZATION & OPERATIONS, MAY 1997**
  - Application of risk management during MD
  - Specific staff responsibilities relating to ri management
- **AR 385-10, ARMY SAFETY PROGRAM**
  - Policy on army safety management proced
  - Information on commanders' responsibiliti
  - Change 1 to AR 385-10 includes guidance



"supervisory and operating personnel who direct or affect the actions of others will use the risk management process during the planning, preparation for, and execution of all operations for which they are responsible."

What Causes Accidents?

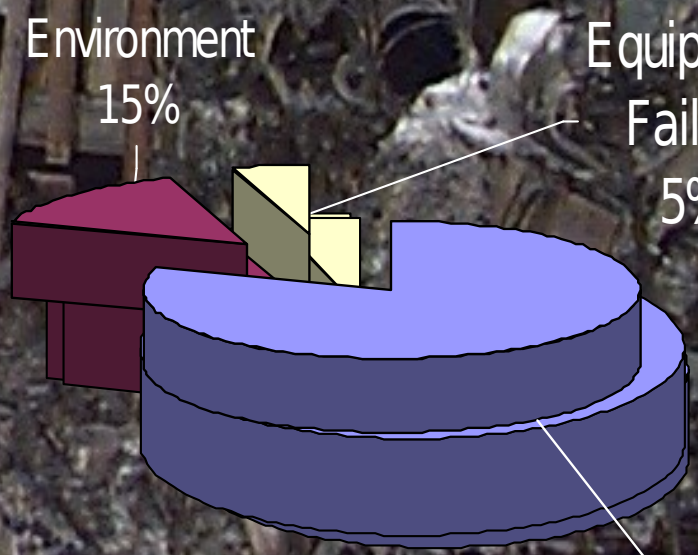
SafeForce 21

ENVIRONMENT
- Terrain
- Temperature
- Precipitation
- Wind
- Obstacles
- Other

HUMAN ERROR
- Individual
- Training
- Supervision
- Judgment

EQUIPMENT FAILURE
- Wheeled (brakes, tires)
- Tracked (hatches, tracks)
- Maintenance

Accident Cause Factors



Risk Management -- What is it?

- **The process of identifying, assessing, and controlling hazards arising from operational factors and making decisions that balance the risk costs with mission benefits.**
- **It is <u>not</u> an excuse to avoid a tough mission.**

Enhance Combat Readiness Through Proactive Risk Management For Accident Prevention

Risk Management Process

Step 1: Identify Hazards

- ***Identify Hazards*** **The objective is to identify those hazards <u>most likely</u> to result in loss of combat power and <u>to protect the force</u>**

Terminology

- ***Hazard -*** **any actual or potential condition that can cause injury, illness, or death of personnel, damage to or loss of equipment, property or mission degradation.**

While You Are Doing This

Troop Leading Procedures

- **Receive The Mission**
- **Issue The Warning Order**
- **Make A Tentative Plan**

DO THIS

IDENTIFY HAZARDS

Identify Hazards - How?

Resources and Techniques

- Experience
- Brain Storming
- Experts
- Publications
- Accident Information
- Scenario Thinking

Tool: METT-T Model

Example

***Mission*- Specified, implied and subtasks.**

***Enemy* - Size and capability (SALUTE).**

***Terrain/Weather* - Environmental conditions.**

Troops and Equipment -

-- Troops - training, type, number, and physical condition.

-- Equipment - amount, type, design, and condition.

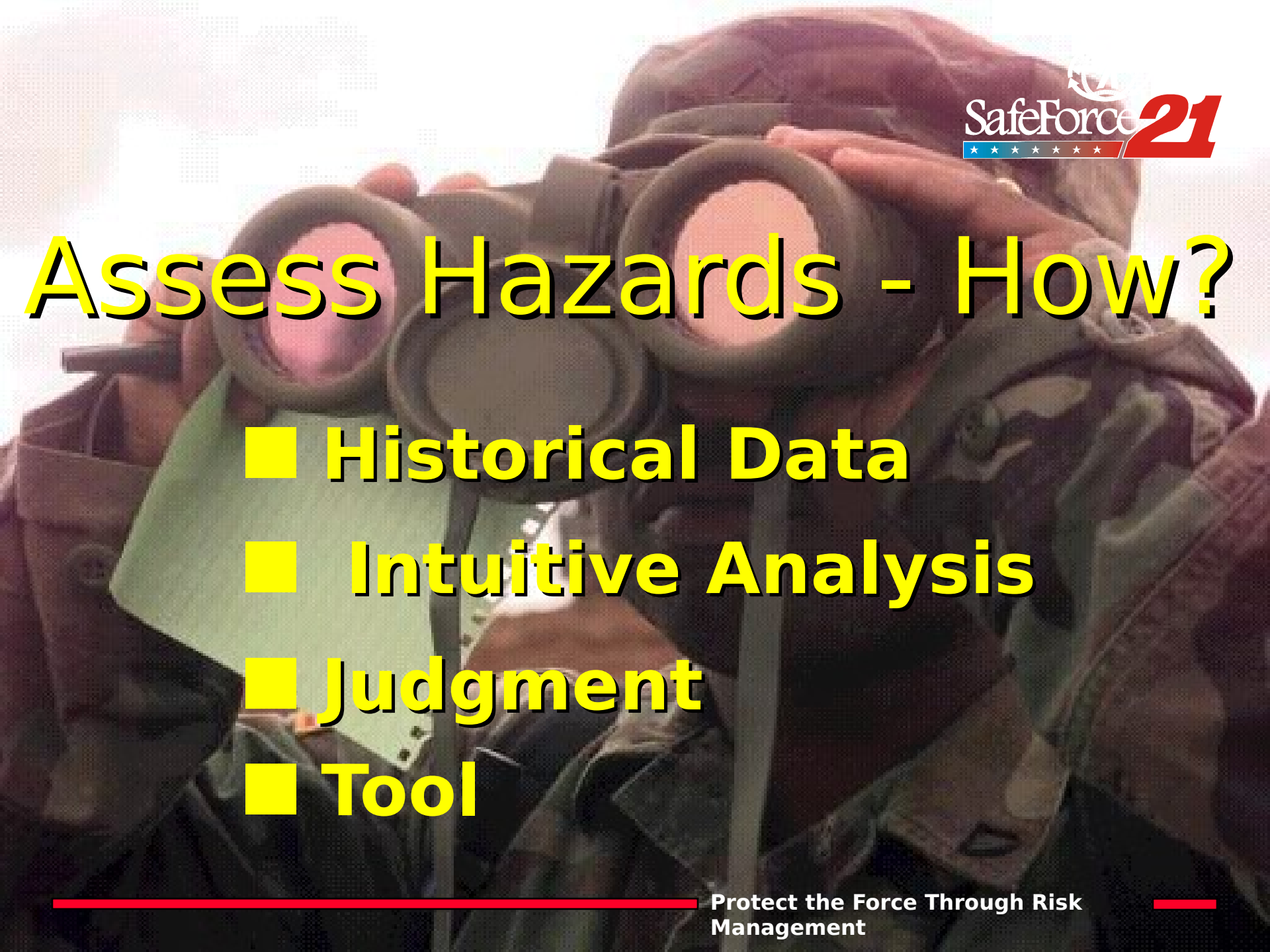
***Time* available - plan, rehearse, and conduct .**

Practical Exercise

Step 2: Assess Hazards

Risk Management Process

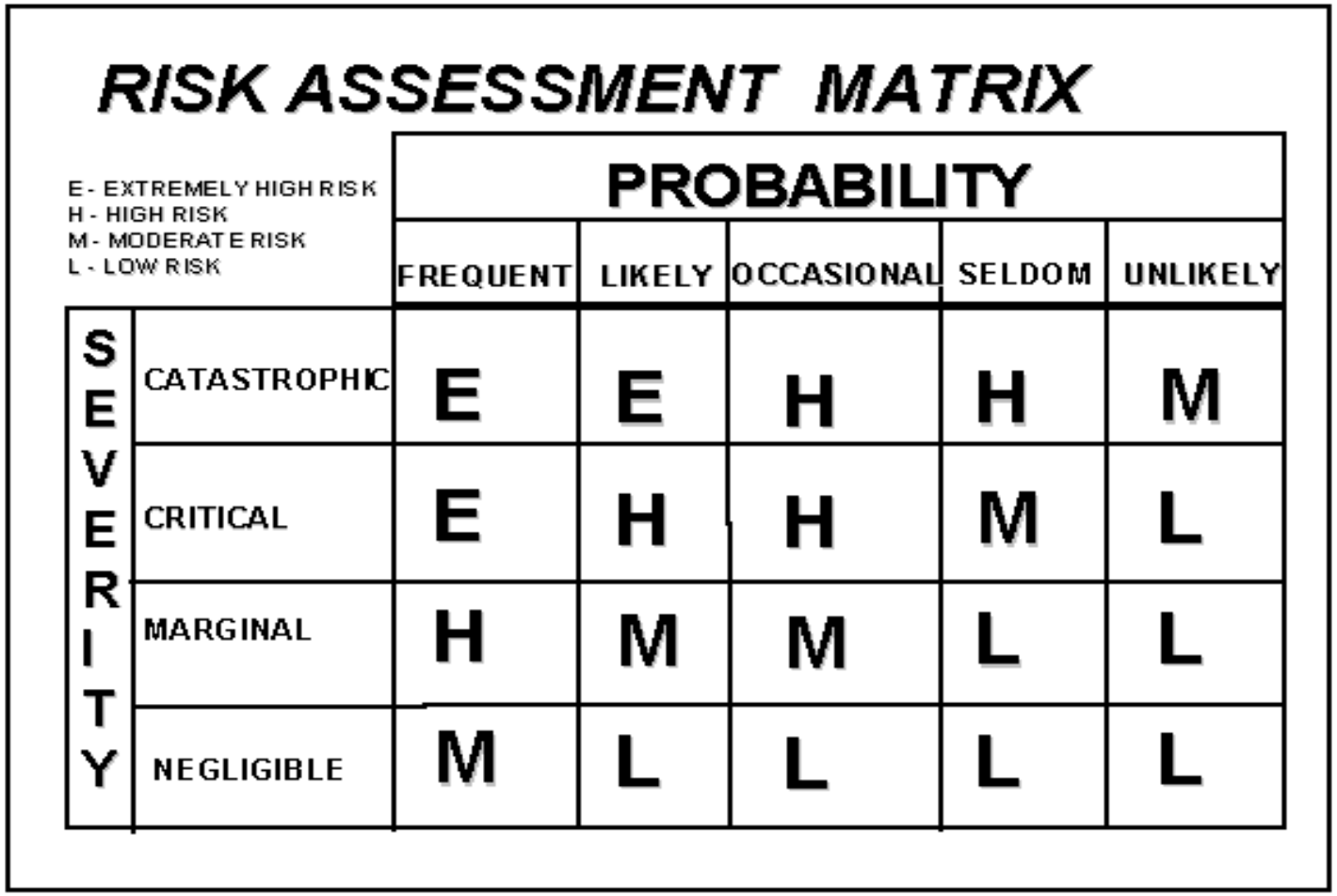
- ***Assess Hazards*** Assess hazards to determine risks. Assess the impact of each hazard in terms of potential loss and cost, based on probability and severity



Assess Hazards - How?

- Historical Data
- Intuitive Analysis
- Judgment
- Tool

Assessment Tool



RISK ASSESSMENT MATRIX

E - EXTREMELY HIGH RISK
H - HIGH RISK
M - MODERATE RISK
L - LOW RISK

SEVERITY	PROBABILITY				
	FREQUENT	LIKELY	OCCASIONAL	SELDOM	UNLIKELY
CATASTROPHIC	E	E	H	H	M
CRITICAL	E	H	H	M	L
MARGINAL	H	M	M	L	L
NEGLIGIBLE	M	L	L	L	L

Terminology

- ***Risk Assessment*** **- The Identification and Assessment of Hazards**
(First Two Steps of the Risk Management Process)

An Accident Sequence Begins Days, & Sometimes Months Before the Impact or Crash

To Break this Chain of Events YOU Must Understand & Apply the Entire Risk Management Process

CG9-08

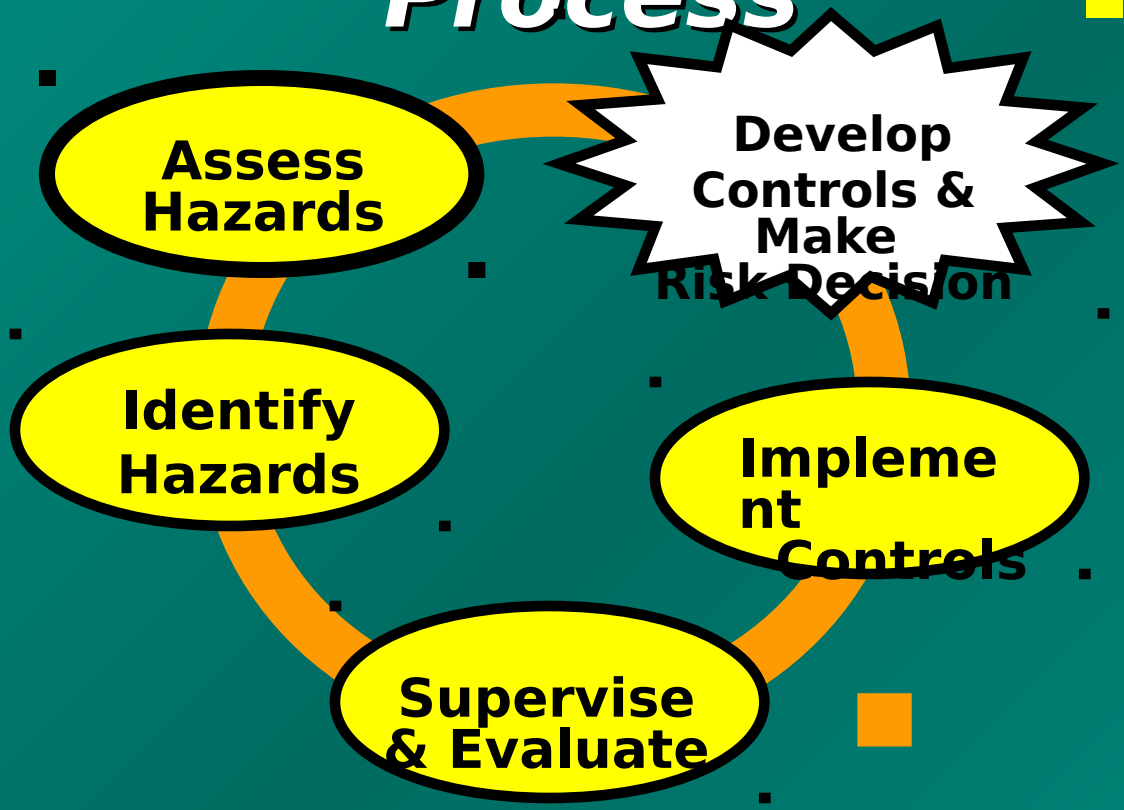
What are the Risks to the Force?

- Accidental Deaths and Injuries
- Civil and Criminal Liabilities
- Loss of Command Trust and Confidence
- Loss & Theft of Material & Funds
- OPSEC & Passive Security Violations
- Fratricide
- Diseases/Illnesses
- The Threat

Practical Exercise

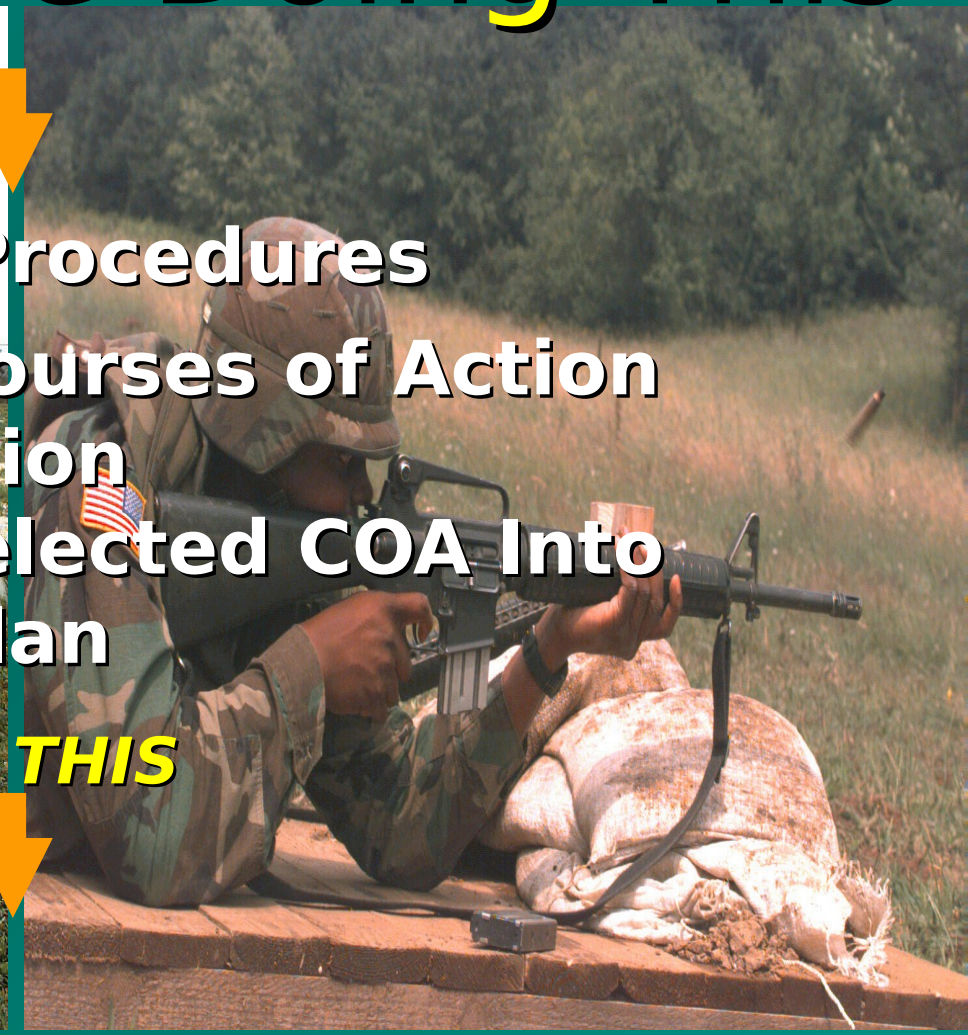
Step 3: Develop Controls & Make Decision

Risk Management Process



- ***Develop Controls and Make Risk Decisions***
  Develop control measures that eliminate the hazard or reduce its risk to an acceptable level

While You Are Doing This



Troop Leading Procedures
- Comparing Courses of Action
- Making Decision
- Expanding Selected COA Into a Tentative Plan

DO THIS

DEVELOP CONTROLS AND MAKE RISK DECISIONS

Tool

Example

Are the controls adequate?

	Adequate YES	NO
-Support - Is type/amount/capability/condition of support adequate to carry out the mission? - Personnel -Logistics - Intelligence		
- Standards - Is guidance/procedure adequately clear/ practical/specific to the mission?		
- Training - Is training recent and to standard?		
- Leader - Are leaders ready, willing and able to enforce standards.		
- Individual/Unit - Is the soldier/unit prepared and rested sufficiently to perform the mission?		

Who Does the Assessment?

Everyone has a responsibility for assessment!

- **Individual accountability**

AND

- **Organization accountability**

  Staff Principals under the supervision of the XO/DCDR

  Key Leaders under the supervision of the higher echelon commander

Practical Exercise

Make Risk Decisions

Determine anticipated residual risk for <u>each hazard</u> as if the control is in place

- **Should never be higher than the initial risk**

Determine the overall mission risk level

- **Should not be lower than the highest residual risk**
- **Based on command guidance or SOP**

ow & When the Decision is Made

How & When?

- Staff Principals present controls with courses of action during planning
- Key leaders present the risks to the command [during backbriefs]
- During AARs decisions may be reassessed

Make Risk Decisions - A Recap

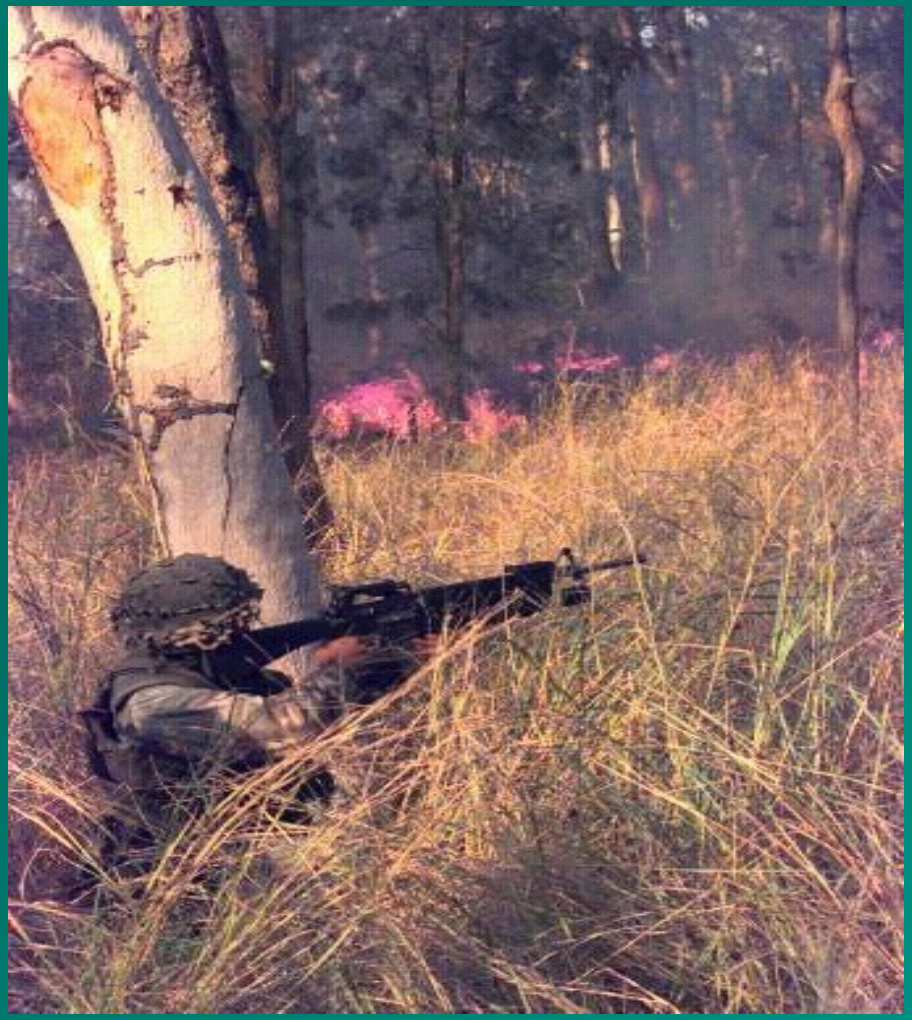
- Make an informed risk decision at the *appropriate level* of command.
- Accept risks only if the *benefits* outweigh the costs or losses.
- If the risk is too high, elevate to next decision level.

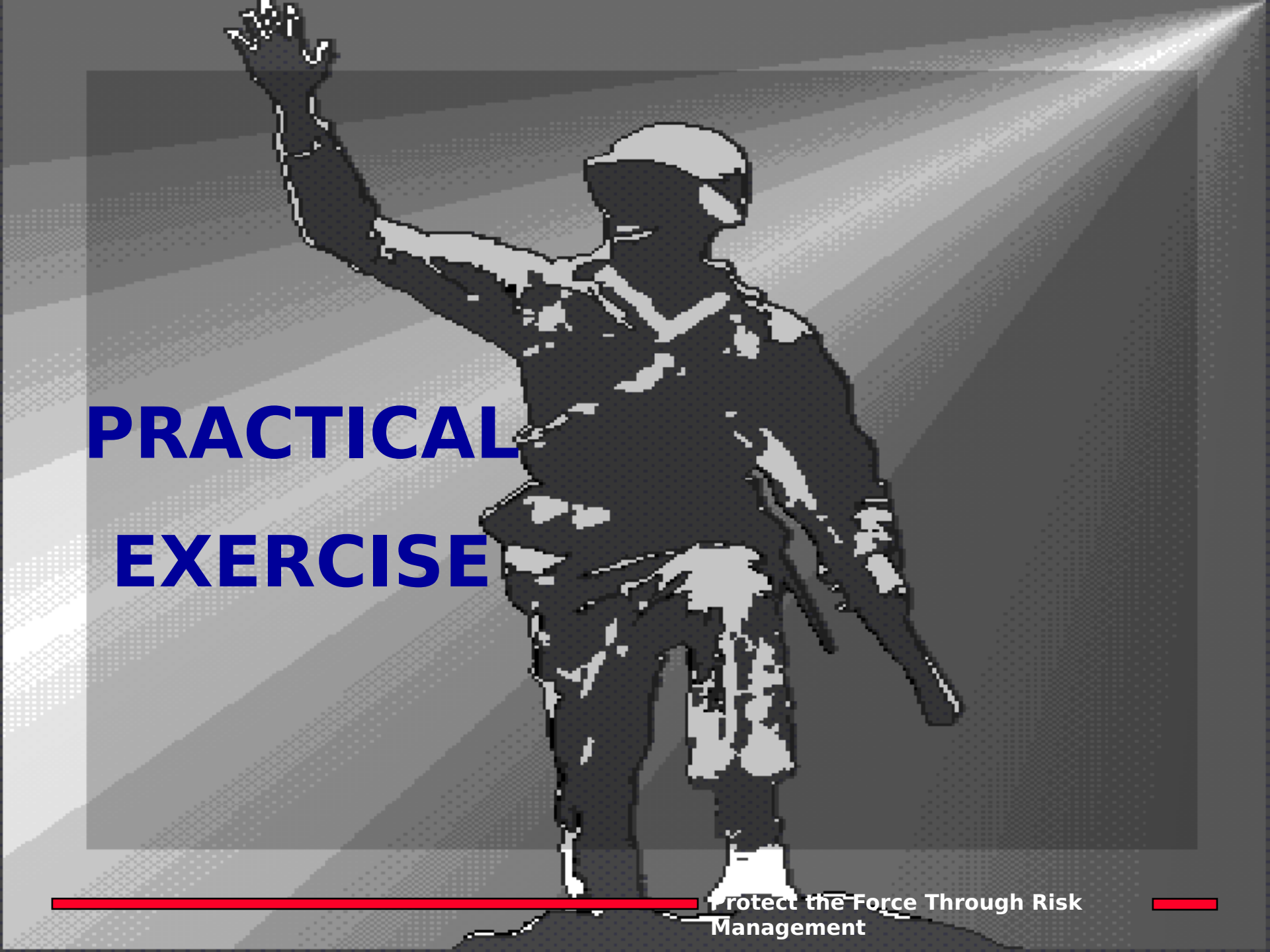
Step 4: Implement Controls

- ***Implement Controls***
  Put controls in place that eliminate the hazards or reduce their risks

Implementation Methods

- Regulations, Policy Letters, & SOP'S
- Orders
- Briefings & Back-Briefs
- Training
- Rehearsals




PRACTICAL
EXERCISE

tep 5: Supervise & Evaluate

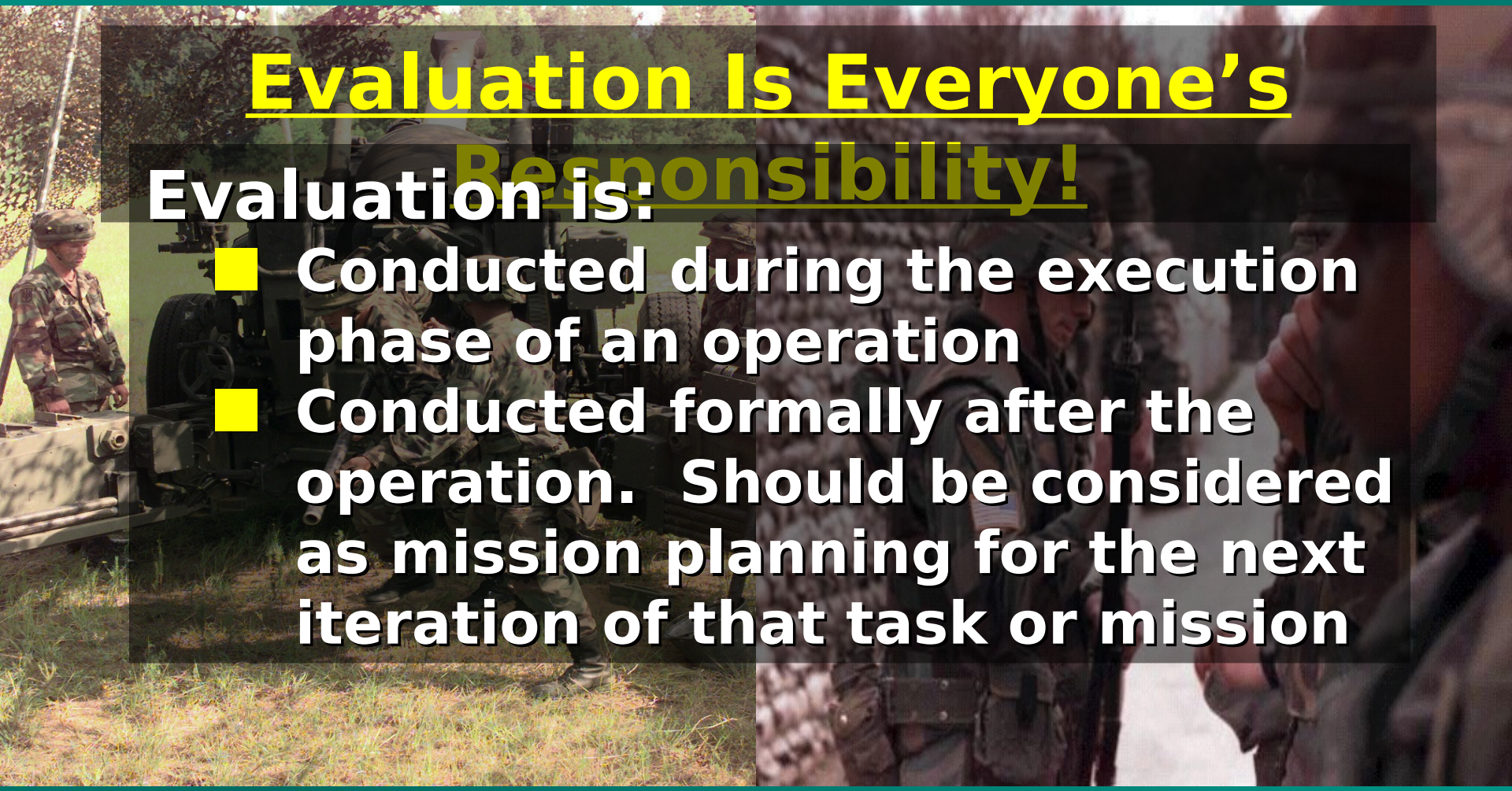
- ***Supervise & Evaluate***

  Perform to, and enforce standards and controls. Evaluate the effectiveness of controls and adjust/ update as necessary

Supervise

Leaders, Supervisors, and Individuals are Responsible for Ensuring Standards and Controls are Followed and Enforced

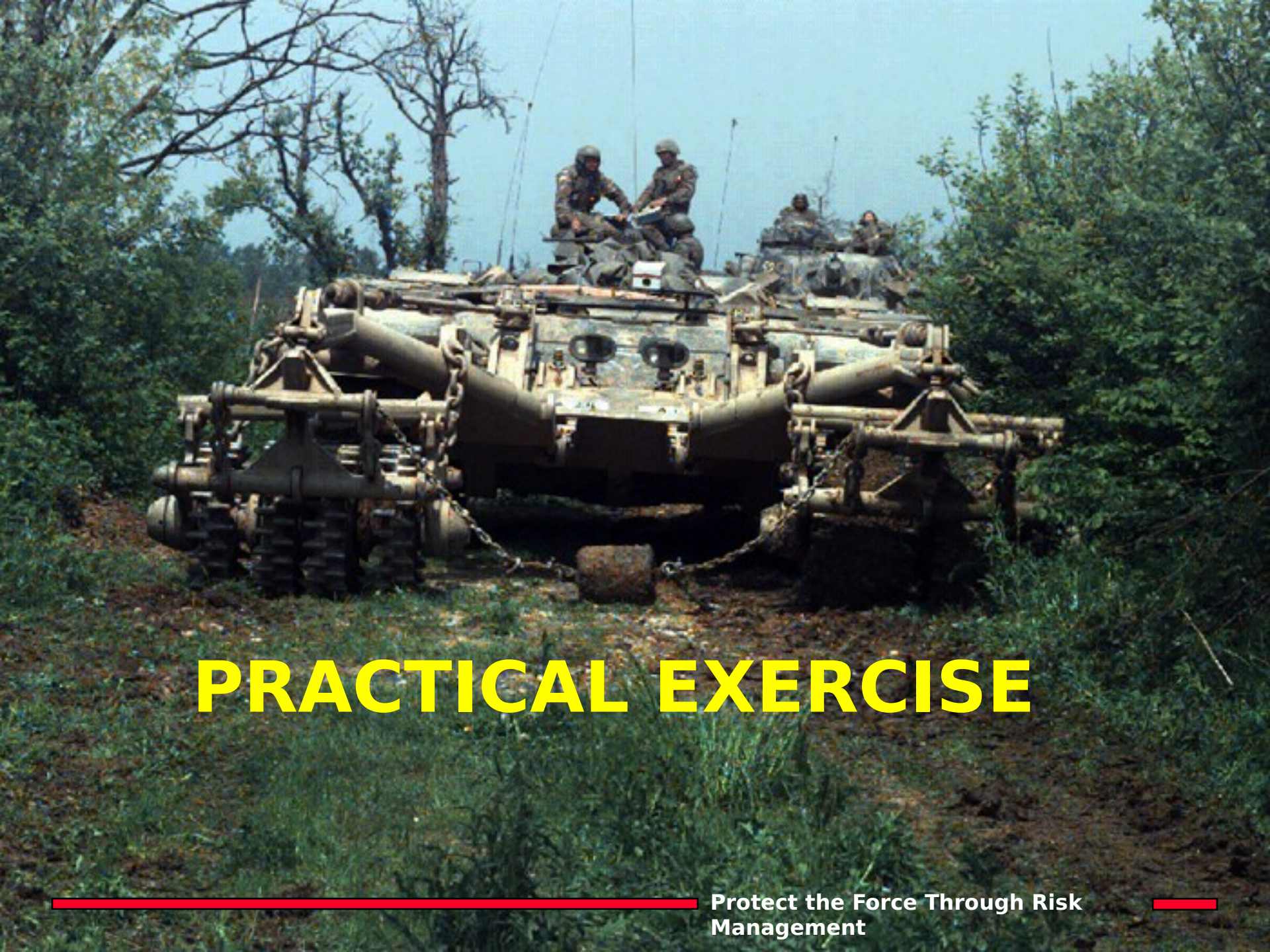
Evaluate



Evaluation Is Everyone's Responsibility!

Evaluation is:

- **Conducted during the execution phase of an operation**
- **Conducted formally after the operation. Should be considered as mission planning for the next iteration of that task or mission**



PRACTICAL EXERCISE

Risk Management Process - A Recap

RISK MANAGEMENT STANDARD

- **The standard for RM is “making an informed decision at the appropriate level.”**

- **The challenge to leadership is to ensure everyone involved in the RM process understands the standard and what must happen in order to achieve the standard.**

Commander's Focus

- We will seek optimum, not adequate performance
- We will select risk reduction options provided by my staff and seek guidance from higher
- We will accept or reject residual risk based on the benefit to be derived
- We will train and motivate leaders at all levels to use Risk Management

Tools & References

- **Army Safety Home Page**
  (http://safety.army.mil)
  - Army Safety Program
  - Army Statistics
  - RM Tools
- **Risk Management Information System**
  (http://rmis.army.mil)
  - Hazards by System
  - Accident Overviews
  - Database Information
  - Messages
- **Help Desk (Helpdesk@safety.emh1.army.mi**
  - (334) 255-1390 or DSN 558-1390

RMIS- Risk Management Information System - Microsoft Internet Explorer

File Edit View Go Favorites Help

Back Forward Stop Refresh Home Search Favorites History Channels Fullscreen Mail Print Edit

Address F:\rmiscdfull\index.html Links

Note: This site is under development. Accident data provided is test data for demonstration purposes only.
DO NOT USE as official Army accident statistics.

U.S. ARMY SAFETY CENTER

Welcome to **RMIS**

RISK MANAGEMENT INFORMATION SYSTEM

User:

Password:

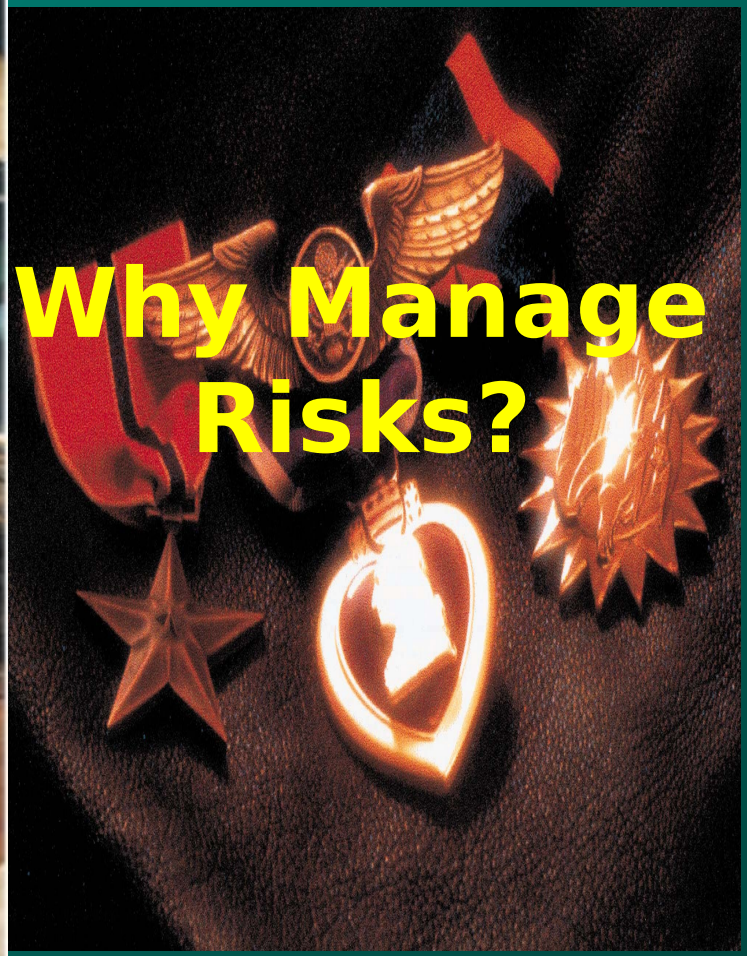
Login

Request ID

Army Safety Program

Please Read this Privacy and Security Notice

Commander's Intent



Protect the Force Through Risk Management

We should all bear one thing in mind when we talk about a troop who 'rode one in.'

He called upon the sum of all his knowledge and made a judgment. He believed in it so strongly that he knowingly bet his life on it.

That he was mistaken in his judgment is a tragedy, not stupidity.

Every supervisor and contemporary who ever spoke to him had an opportunity to influence his judgment, so a little bit of all of us goes in with every troop we lose.

AUTHOR UNKNOWN